

| | | |
|---|--|---|
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER 08228/061001 |
| | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/316703 |
| INTERNATIONAL APPLICATION NO. PCT/JP03/07061 | INTERNATIONAL FILING DATE 4 June 2003 | PRIORITY DATE CLAIMED 4 June 2002 |
| TITLE OF INVENTION GALLIUM NITRIDE COMPOUND SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD | | |
| APPLICANT(S) FOR DO/EO/US Hisao SATO et al. | | |

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

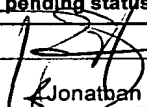
- ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
- ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
- ☒ This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
- ☐ The US has been elected (Article 31).
- ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - ☐ is attached hereto (required only if not communicated by the International Bureau).
 - ☒ has been communicated by the International Bureau.
 - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
 - ☒ is attached hereto.
 - ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - ☐ are attached hereto (required only if not communicated by the International Bureau).
 - ☐ have been communicated by the International Bureau.
 - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - ☐ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
- ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11 to 20 below concern document(s) or information included:

- ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- ☒ A preliminary amendment.
- ☒ An Application Data Sheet under 37 CFR 1.76.
- ☐ A substitute specification.
- ☐ A power of attorney and/or change of address letter.
- ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
- ☒ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
- ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
- ☒ Other items or information: Return Receipt Postcard; Copy of PCT-Easy Request; PCT Filing Receipt; PCT Notice of Submission of Priority; PCT Notice of Application Communication to Offices

22511
 PATENT TRADEMARK OFFICE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

| | | | | | |
|--|---------------------|---|-------------|---|------------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 10/516703 | | INTERNATIONAL APPLICATION NO. PCT/JP03/07061 | | ATTORNEY'S DOCKET NUMBER 08228/061001 | |
| 21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1110.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$950.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$790.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$750.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | CALCULATIONS PTO USE ONLY | |
| | | | | | |
| | | | | \$ | 950.00 |
| | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 21-20 = | 1 | x 18.00 | \$ | 18.00 |
| Independent claims | 2-3 = | | x | \$ | 0.00 |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) | | | | + | \$ |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | 968.00 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | |
| SUBTOTAL = | | | | \$ | 968.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$ | 968.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ | 40.00 |
| TOTAL FEES ENCLOSED = | | | | \$ | 1,008.00 |
| | | | | Amount to be refunded: | \$ |
| | | | | Amount to be charged: | \$ |
| a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0591</u> . A duplicate copy of this sheet is enclosed. d. <input checked="" type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| | | | | SIGNATURE:  | #45,079 |
| | | | | NAME | Jonathan P. Osha |
| CUSTOMER NUMBER: 22511 | | | | 33,986 | |
| | | | | REGISTRATION NUMBER | |

Application No. (if known): Not Yet Assigned

Attorney Docket No.: 08228/061001

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV535681775US in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on December 2, 2004
Date



Signature

Toni A. Hill

Typed or printed name of person signing Certificate

Registration Number, if applicable

713-228-8600
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

IDS (Citation) by Applicant (16 References) (1 page)

Application No. (if known): Not Yet Assigned

Attorney Docket No.: 08228/061001

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV535681775US in an envelope addressed to:

MS PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on 2 December 2004
Date



Signature

Toni A. Hill

Typed or printed name of person signing Certificate

Registration Number, if applicable

713-228-8600
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Application Data Sheet (2 pages)
Return Receipt Postcard; Copy of PCT-Easy Request; PCT Filing Receipt;
PCT Notice of Submission of Priority; PCT Notice of Application
Communication to Offices
English language translation of the International application
Oath or declaration of the inventor(s)
Information Disclosure Statement (16 references)
Second copy of published International Application
Transmittal Letter to the United States Designated-Elected Office
Payment by credit card. Form PTO-2038 is attached
Charge \$968.00 to credit card

Application No. (if known): Not Yet Assigned

Attorney Docket No.: 08228/061001

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV535681775US in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on December 2, 2004
Date



Signature

Toni A. Hill

Typed or printed name of person signing Certificate

Registration Number, if applicable

713-228-8600
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Declaration (Japanese Language) with an ADS (8 pages)

10/516703

DT1 Rec'd PCT/PTO 02 DEC 2004

PATENT APPLICATION
ATTORNEY DOCKET NO.: 08228/061001

**APPLICATION
FOR
UNITED STATES LETTERS PATENT**

**TITLE: GALLIUM NITRIDE COMPOUND SEMICONDUCTOR
DEVICE AND MANUFACTURING METHOD**

**APPLICANT: Hisao SATO; Tomoya SUGAHARA;
Shinji KITAZAWA; Yoshihiko MURAMOTO;
Shiro SAKAI**

22511

PATENT TRADEMARK OFFICE

"EXPRESS MAIL" Label No.: EV535681775US

Date of Deposit: December 2, 2004

10/516703

DT12 Rec'd PCT/PTO 0 2 DEC 2004

Application No. (if known): Not Yet Assigned

Attorney Docket No.: 08228/061001

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. EV535681775US in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on December 2, 2004
Date



Signature

Toni A. Hill

Typed or printed name of person signing Certificate

Registration Number, if applicable

713-228-8600
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Utility Patent Application Transmittal (1 page)
Fee Transmittal
Payment by credit card. Form PTO-2038 is attached
Charge \$790.00 to credit card